

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Marc Schaepkens et al : Group Art Unit:  
Serial No.: : Examiner:  
Filed: :  
For COMPOSITE ARTICLES HAVING DIFFUSION  
BARRIERS AND DEVICES INCORPORATING  
THE SAME :  
:

## INFORMATION DISCLOSURE STATEMENT

- 1 **Pursuant to 37CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] \$180.00
- 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] \$180.00

ATTN: BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

\_\_\_\_\_  
Date of Deposit

\_\_\_\_\_  
Type or Print Name

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Signature

This paper is submitted in accordance with:

- 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
  - 8 The required Certification made in item 11 below; or
  - 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- 10 37 CFR 1.97(d): [on or before issue fee payment]; and
  - a) The required Certification is stated in item 11 below; and
  - b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- 11 Certification
- 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- 14 Payment of all applicable fees:
- 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

An original and two (2) copies of this document are enclosed.

Respectfully submitted,

February 12, 2004  
Date

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CRD Patent Docket Rm 4A59  
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FORM PTO-1449  
(REV. 7-80)

(Title Amended 3/83)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

133348

SERIAL NO.

Applicant

Marc Schaepkens et al.

Filing Date

Group

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT--

LIST OF ITEMS

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5	4	5	5	1	0	5	10/03/95	Coyle et al.		
	AB	5	6	8	1	8	8	8	10/28/97	Nomura et al.		
	AC	6	2	8	7	6	7	4	09/11/01	Verlinden et al.		
	AD	6	2	6	8	6	9	5	07/31/01	Affinito		
	AE	6	4	9	7	5	9	8	12/24/02	Affinito		
	AF	6	6	2	4	5	6	8	09/23/03	Silvernail		
	AG	6	5	7	0	3	2	5	05/27/03	Graff et al.		
	AH	6	5	1	5	3	1	4	02/04/03	Duggal et al.		
	AI											
	AJ											
	AK											

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	No
	AL							
	AM							
	AN							
	AO							
	AP							

## OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

AR	Copending patent application Serial No. 10/065,018, by Marc Schaepkens et al, filed 9/11/02, entitled "DIFFUSION BARRIER COATINGS HAVING GRADED COMPOSITIONS AND DEVICES INCORPORATING THE SAME" (Docket No. 125397).
AS	"Durability of Nanosized Oxygen Barrier Coatings on Polymers", by Y. Leterrier, Prog. Mat. Sci., Vol. 48, pp. 1-55 (2003).
AT	"Evaluating High Performance Diffusion Barriers: the Calcium Test", by Nisato et al., Asia Display//DW'01, pp. 1435-1438 (2001).

EXAMINER

DATE CONSIDERED

FORM PTO-1449 (REV. 7-80) (Title Amended 3/83)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. <b>133348</b>	SERIAL NO.
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT--</b> <u>LIST OF ITEMS</u>  <i>(Use several sheets if necessary)</i>		Applicant <b>Marc Schaepkens et al.</b>			
		Filing Date		Group	

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER		DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	BA						
	BB						
	BC						
	BD						
	BE						
	BF						
	BG						
	BH						
	BI						
	BJ						
	BK						

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	No
	BL							
	BM							
	BN							
	BO							
	BP							

**OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)**

BR	US Pub. No. 2003/0203210A1, published Oct. 30, 2003, Graff et al, entitled "Barrier Coatings and Methods of Making".
BS	US Pub. No. 2003/0117066A1, published June 26, 2003, Silvermail, entitled "Muleilayer Barrier Region Containing Moisture- and Oxygen-Absorbing Material for Optoelectronic Devices".
BT	

EXAMINER

DATE CONSIDERED